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PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Rosen, et al.

Serial No.: 09/<sup>941,155</sup>~~041,155~~

Group Art Unit: 2161

Filed: August 28, 2001

Examiner: TBA

For: SYSTEM AND METHOD FOR  
IMPROVED MULTIPLE REAL-TIME  
BALANCING AND STRAIGHT THROUGH  
PROCESSING OF SECURITY  
TRANSACTIONS

Attorney Docket: 717-001

Honorable Commissioner of Patents and Trademarks  
Washington, D.C. 20231

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TRANSMITTAL

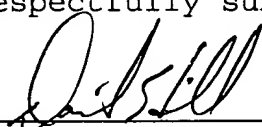
S I R:

Submitted herewith is:

1. Notice to File Missing Parts;
2. Oath and Declaration (executed);
3. Preliminary Amendment; and
4. Check in the amount of \$654 (to cover the surcharge for Missing Parts (\$65), filing fee (\$355) and additional claim fee (\$234)). Please charge any fee deficiency to Ward & Olivo Deposit Account No. 23-0420. A copy of this sheet is attached.

Respectfully submitted,

Date: December 3, 2001

  
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David M. Hill  
Reg. No. 46,170  
WARD & OLIVO  
708 Third Avenue  
New York, NY 10017  
(212) 697-6262

CERTIFICATE UNDER 37 C.F.R. §1.8(a)

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231, on the date indicated below.

David M. Hill

(Name)

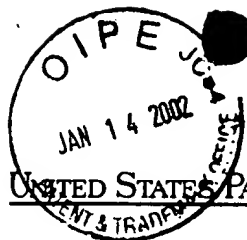
(Signature)

46,170

(Reg. No.)

12/03/01

(Date)



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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/941,155	08/28/2001	Rosen	717-001

CONFIRMATION NO. 4608

FORMALITIES LETTER



\*OC00000006842290\*

Ward & Olivo  
708 Third Ave  
New York, NY 10017

Date Mailed: 10/03/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

01/18/2002 BNGUYEN1 00000074 230420 09941155

FILED UNDER 37 CFR 1.53(b)

01 FC:205	65.00 OP
02 FC:203	234.00 OP
03 FC:201	15.00 CH 355.00 OP

Filing Date Granted

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An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 355 to complete the basic filing fee for a small entity.*
- Total additional claim fee(s) for this application is \$234.
  - \$234 for 26 total claims over 20.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 654.**

The following item(s) appear to have been omitted from the application:

- Figure(s) 6A-6E described in the specification.

I. Should applicant contend that the above-noted omitted item(s) was in fact deposited in the U.S. Patent and Trademark Office (USPTO) with the nonprovisional application papers, a copy of this Notice and a petition (and \$130.00 petition fee (37 CFR 1.17(h))) with evidence of such deposit must be filed within **TWO MONTHS** of the date of this Notice. The petition fee will be refunded if it is determined that the item(s) was received by the USPTO.

II. Should applicant desire to supply the omitted item(s) and accept the date that such omitted item(s) was filed in the USPTO as the filing date of the above-identified application, a copy of this Notice, the omitted item(s) (with a supplemental oath or declaration in compliance with 37 CFR 1.63 and 1.64 referring to such items), and a petition under 37 CFR 1.182 (with the \$130.00 petition fee (37 CFR 1.17(h))) requesting the later filing date must be filed within **TWO MONTHS** of the date of this Notice.

III. The failure to file a petition (and petition fee) under the above options (I) or (II) within **TWO MONTHS** of the date of this Notice (37 CFR 1.181(f)) will be treated as a constructive acceptance by the applicant of the application as deposited in the USPTO. **THIS TWO MONTH PERIOD IS NOT EXTENDABLE UNDER 37 CFR 1.136(a) or (b).** In the absence of a timely filed petition in reply to this Notice, the application will maintain a filing date as of the date of deposit of the application papers in the USPTO, and original application papers (*i.e.*, the original disclosure of the invention) will include only those application papers present in the USPTO on the date of deposit.

In the event that applicant elects not to take action pursuant to options (I) or (II) above (thereby constructively electing option (III)), amendment of the specification to renumber the pages consecutively and cancel incomplete sentences caused by any omitted page(s), and/or amendment of the specification to cancel all references to any omitted drawing(s), relabel the drawing figures to be numbered consecutively (if necessary), and correct the references in the specification to the drawing figures to correspond with any relabelled drawing figures, is required. Any drawing changes should be accompanied by a copy of the drawing figures showing the proposed changes in red ink. Such amendment and/or correction to the drawing figures, if necessary, should be by way of preliminary amendment submitted prior to the first Office action to avoid delays in the prosecution of the application.

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*A copy of this notice **MUST** be returned with the reply.*



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Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE